

**Colorado Historical Society**

# **Performance Management Program**

**Revised March 1, 2007  
Applicable for Planning & Evaluation  
April 1, 2007, and forward**

**This version approved by the President and Chief Financial Officer to be used for the planning and evaluation cycle beginning April 1, 2007, and forward.**

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**Georgianna Contiguglia, President**

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**Susan Riehl, Chief Financial Officer**

**Colorado Historical Society**

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# Colorado Historical Society Performance Management Program

## I. Overview

The Colorado Historical Society (CHS) Performance Management Program (PMP) establishes the framework for implementing performance management for CHS classified and non-classified employees. The PMP aligns with the goal of Colorado state government to establish a work culture that acknowledges excellence in performance. The PMP has both quantifiable and qualitative components, and may therefore incorporate both objective and subjective evaluation criteria.

This document explains how performance planning and evaluation occur at CHS. It spells out the rules for annual performance salary adjustments, should they occur, and evaluation ratings. It explains the expectations for training and the procedure for dispute resolution. The program is reviewed annually by the CHS PMP Team (CHS staff chosen by lottery) and any revisions are approved by division directors, the president, and the state personnel director.

## II. Definitions

### **Advisor:**

An individual who assists a party during a dispute resolution process by explaining the process, helping identify issues, preparing documents and/or attending meetings.

### **Base building/non-base building:**

*Base building* refers to monetary benefits that permanently raise the monthly or yearly salary of the employee. This is in contrast to a *non-base-building* award, which is paid in one annual lump sum — while the “base” salary does not change. (Example: an Administrative Assistant II has a monthly pre-tax salary of \$1942. A base building performance salary adjustment might increase her salary by 2 percent; every month thereafter her salary would be \$1981. If the employee received a non-base building award of \$200, she would receive \$2142 one month, but after that paycheck, she’d return to a salary of \$1942 a month.)

### **Customer:**

A person who requests information and/or services from us (whether “in-house” or “out-of-house”). Co-workers and peers are thus viewed as customers in the same fashion as are outside patrons.

### **Pay range minimum/maximum:**

For **classified employees**, the pay range is set by the State, and is dependent on the employee’s class title. An Administrative Assistant II, for example, is Class G3A3XX, and has a pay range of \$2,409 - \$3,379 per month for FY 2006-2007. The minimum number is the *least* amount one can receive as one’s pre-tax salary for that position; the maximum is the *most* one can receive. An employee’s salary, plus any base building monetary benefits such as a PMP performance salary adjustment, can never exceed the pay range maximum. For a complete list of pay ranges for state classified positions, visit the State Division of Human Resources web site at <http://www.state.co.us/dhr>.

Pay ranges for **non-classified employees** do not exist as of this date, and references in this document to pay range minimum and maximum do not apply.

***Performance Evaluation:***

The process of assessing, summarizing, and communicating with an employee about her/his work performance.

***Performance Management:***

An ongoing communication process that involves both the supervisor and the employee in:

- identifying and describing essential job functions and relating them to the mission and goals of the Society
- developing realistic and appropriate performance standards with specific examples as support
- giving and receiving feedback about performance
- writing and communicating constructive performance evaluations
- planning education and development opportunities to sustain, improve, or build on employee work performance

***Performance Planning:***

The process of defining performance standards and incorporating them into the Planning and Evaluation Tool.

***Performance Standards:***

Written statements in an employee's Planning and Evaluation Tool describing the criteria that define that employee's performance as "Needs Improvement," "Successful," or "Outstanding" as described in Section V. Performance-based Pay.

***Rater:***

A person who monitors performance for one or more staff members. The rater is the employee's direct supervisor, unless otherwise delegated by the president.

***Reviewer:***

The reviewer is responsible for reviewing performance plans and evaluations prepared by the rater and employee to ensure that plans and evaluations are completed within PMP guidelines and to monitor consistency between raters. The reviewer is typically the rater's supervisor. The reviewer does not have the authority to change the final rating.

***Salary Survey:***

An annual program in which state salaries are compared with the Front Range labor market and adjusted for the upcoming fiscal year. Salary Survey increases are in the form of a base building percentage increase in salary and are effective the beginning of the fiscal year. The Salary Survey program redefines the pay range minimum and maximum salaries for classified staff.

### **III. Philosophy and Guiding Principles**

#### ***Philosophy:***

The Colorado Historical Society's Performance Management Program (PMP) applies to both classified and non-classified staff. The PMP is based on standards of professional excellence, quality customer service, and dedication to the Society's mission, goals, and objectives. Through the core competencies, it encourages team cooperation and organizational commitment, and it acknowledges positive attributes including helpfulness, responsibility, and timeliness. The PMP encourages mutual respect for Society staff and the public it serves.

#### ***Guiding Principles:***

- The CHS Performance Management Program is dynamic rather than static; its components are subject to ongoing review and appropriate revision.
- Successful performance management requires the total commitment of administration and staff to communicate effectively.
- Effective performance management includes dedicating appropriate time and resources devoted to its key components: training, annual planning, coaching and feedback, implementation, and evaluation. Integrating these components establishes expectations for supervisors and staff and minimizes miscommunication.
- Performance standards will be developed in collaboration with the employee, and must:
  - be appropriate to the requirements of the job
  - reflect the realities of the work context and conditions
  - be understood by the employee and supervisor
  - be accepted by the employee and supervisor
  - reflect CHS mission and goals
- Accountability and responsibility for specific results must be clearly understood, and performance measures agreed upon by both supervisor and employee.
- Compensation, performance salary adjustments (as appropriated by the State), and recognition will be linked to performance measures and standards, as determined by the president and availability.

**The ultimate goal of the CHS Performance Management Program is to encourage and facilitate exceptional performance.**

## **IV. Performance Management**

### ***Training***

At the time of hire, the human resources director (HRD) will give each new employee a copy of the CHS PMP or provide for the CHS PMP to be available electronically through the CHS shared drive or email attachment. New employee training on the PMP will be provided by the HRD on a regular schedule. Training is mandatory for all raters. The HRD will inform all employees of relevant PMP training opportunities that may arise.

Each division will adopt a program for an annual update of the terms and provisions of the CHS PMP. This update may be in a group or individually, and may be presented by unit heads. Each division director will inform the president in writing of the update plan for the division. The review will address:

- how to write goals and measures
- performance planning
- tracking and measuring performance
- evaluation documents
- the evaluation process
- coaching and feedback
- communication
- the review process
- compensation issues

### ***Performance Planning***

The employee and rater will work together to formulate a personal performance plan that appropriately reflects and aligns with CHS philosophy, goals, and objectives, the requirements of the employee's job (including supervisory responsibilities for supervisors), and the realities of the work context and conditions of the job. The plan will clearly communicate accountability and responsibility for specific work results in terms understood by both supervisor and employee. Changes in project assignments need to be reflected in the plan. The employee's signature on his/her plan will be taken to mean that the employee has read and understood the current PMP. Teamwork can be measured as a component of an employee's performance plan. Multi-source assessment processes, where feasible, should be considered for planning and evaluating employees.

Raters must use the Planning and Evaluation Tool, Attachment D of the PMP. Each year individual plans will cover the period April 1 to March 31. Plans for the upcoming year must be completed by April 30.

It is the responsibility of raters to prepare plans with employees. It is the responsibility of the division director to ensure that individual performance plans are in place and that the plans support unit work plans.

If an employee reports to two raters, it is the responsibility of the raters to jointly develop a plan for that employee, balancing the plan to the greatest extent possible.

If a rater (supervisor) fails to develop a plan with an employee within two weeks after the deadline, the reviewer is responsible for completing the plan. If the reviewer fails to complete the plan in a timely manner, the reviewer's supervisor is responsible for completing the plan and on up the chain of command until the plan is completed as required by law. Absent extenuating circumstances, failure by any supervisor to provide timely plans will result in a corrective action and his/her ineligibility for a performance salary adjustment.

In the absence of an employee's usual rater due to staff vacancies, the next level supervisor will appoint a new rater. If an employee is assigned to a different rater within a plan year, both the new rater and the employee must review the plan and sign and date the document within thirty days of the new assignment.

### ***Coaching and Feedback***

Ongoing communication and informal feedback are an important aspect of performance planning and evaluation, and will be expected and done as needed. In addition to the final performance evaluation, the rater and the employee will also meet formally at least once each year no later than October 31 to discuss and document performance for the time frame of April 1 through September 30. Revisions or modifications to the plan must be documented on the Planning and Evaluation Tool and signed by both rater and employee.

Coaching and feedback will be provided by the supervisor; if not the supervisor, then the division director; if not the division director, then the president. Multi-source coaching and feedback, from colleagues and/or employees, is also encouraged.

### ***Performance Evaluation***

Performance evaluations will be written annually based on employee's job performance from April 1 to March 31. The higher-level supervisor (reviewer) must review the supervisor's (or rater's) evaluation of the employee's performance before the evaluation is given to the employee. An opportunity must be given to the employee to provide input on his/her performance to the rater prior to the rating being given. Raters shall submit evaluations for review to the reviewer prior to disclosing the final rating to the employee. The reviewer does not have the authority to change a rating. The reviewer will review all evaluations and coach the raters prior to final ratings being assigned insuring that the quality and consistency of performance ratings within the Colorado Historical Society are maintained. Evaluations will be completed by April 30 of each state fiscal year. Employees will be evaluated on a three level scale as defined under Performance Evaluation. Performance evaluation criteria are organized into two broad categories:

1. *Core value components:*  
State uniform core competencies and measurements reflecting the CHS mission and philosophy that are part of every employee's performance plan. Core value components cannot be disregarded in the final rating of each employee. The core value components are:
  - a. Job knowledge
  - b. Communication
  - c. Interpersonal skills
  - d. Accountability

e. Customer service

2. Job-specific components:

Measurements that are position-specific and that are developed jointly by the employee and supervisor, including appropriate time-specific components. All supervisors should have a provision or "factor" in their own performance plans that measures and evaluates the effectiveness of their performance management of their employees.

If a supervisor fails to evaluate an employee's job performance within two weeks after the deadline, the reviewer is responsible for completing the evaluation. If the reviewer fails to evaluate in a timely manner, the reviewer's supervisor is responsible for completing the evaluation and on up the chain of command until the rating is completed as required by law. If a rating is not given, the overall evaluation shall be Successful until a final rating is completed. Interim evaluations should be done for employees who have been employed by the Colorado Historical Society less than one year or at the time of separation for employees who separate employment with CHS before March 31. If an employee moves to another appointing authority or department during a performance cycle, an interim overall evaluation shall be completed and delivered to the new appointing authority or department with a copy to Human Resources.

For any rater of a classified employee who fails to complete the performance plan or evaluation, the sanctions required by P-6-2 are: Absent extraordinary circumstances, failure to timely plan and evaluate in accordance with the CHS's established timelines results in a corrective action and ineligibility for a performance salary adjustment. If the individual performance plan or evaluation is not completed within 30 days of the corrective action, the rater must be disciplinarily suspended in increments of one workday following a pre-disciplinary meeting. Statute provides, in addition, that if any evaluations are not completed by July 1, the supervisor may be demoted. If failure to evaluate by July 1 happens for consecutive 2 years, the supervisor shall be demoted to a non-supervisory position. Administering corrective actions and requesting disciplinary action shall be the responsibility of the reviewer. For raters of non-classified employees who fail to complete the performance plan or evaluation, reviewers may exercise the same consequences as listed above.

## **V. Performance-based Pay**

The president will determine how PMP dollars will be allocated in conformance with the State and CHS Performance Management Program guidelines. PMP funding may not be available in any given year.

### ***General Rules:***

1. All adjustments will be a percentage of the employee's salary effective on June 30 and will be based on the final overall rating. Base building adjustments are permanent and paid as regular salary.
2. Performance salary adjustments will begin July 1 and will include any relevant salary survey increase.
3. One-time, non-base building awards will be paid in full in July.
4. Classified employees who have reached the pay range maximum and who receive a final evaluation of Successful are ineligible for any monetary performance salary

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- adjustment, but may receive non-monetary awards, such as paid administrative leave time. In the case of a classified employee who has reached the pay range maximum and received a final evaluation of Outstanding, a one-time non-base building award may be given and shall be payable in the July payroll. If base pay is at grade maximum or in saved pay above the maximum, the employee is ineligible for a performance salary adjustment.
5. Non-monetary awards may be in the form of additional administrative leave days or other awards approved by the president.
  6. Only employees who are on the payroll effective July 1 will be eligible for a performance salary adjustment or award. The employee's current department as of July 1 is responsible for payment of the adjustment.
  7. Employees receiving a performance salary adjustment in any given year will be personally notified of the kind and amount of both the salary survey and the adjustment before July 1.
  8. Employees must have been in continuous, permanent employment with the State of Colorado as of January 1 in order to be eligible for a performance salary adjustment the following July. The performance salary adjustment for employees who were hired between April 1 and January 1 will have his/her performance salary adjustment based on the final overall rating of an interim evaluation(s).
  9. Quotas for determining the number of ratings in any of the three performance levels shall not be established.
  10. Prior to the payment of annual performance salary adjustments, the State Personnel Director shall specify and publish the percentage ranges for classified staff for performance levels based on the available statewide performance pay fund. For non-classified staff, the chief financial officer shall determine the percentage ranges.
  11. No performance salary adjustment may exceed the percentage of salary established by the state personnel director.
  12. An employee granted an annual performance salary adjustment shall not be denied the adjustment because of a corrective or disciplinary action issued for an incident after the close of the previous performance cycle.
  13. The minimum common criteria for distinguishing performance salary adjustments are the final overall evaluation rating. These criteria must reflect the Colorado Historical Society's and the division or unit's mission and operational needs. Raters are required to be consistent in their treatment of similarly situated employees. The source of funds (e.g., cash or general), method of funding (e.g., appropriated or memorandum of understanding), and length of state service shall not be criteria.

***Evaluation levels: Ratings shall be designated as one of three levels based on the quality of the employee's performance and the three numerical levels as described below.***

**Level 1: Needs Improvement**

Employees who receive a rating of **Needs Improvement** will not be eligible for a performance salary adjustment. An employee with a Needs Improvement rating will be subject to a performance improvement plan or a corrective action with mandatory review every sixty (60) days. Needs improvement is defined as a Level 1 rating. This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring and close supervision to ensure progression toward a performance level that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

### **Level 2: Successful**

Employees who receive a rating of **Successful** may be eligible for a performance salary adjustment not to exceed the pay range maximum. A non-monetary award may also be given. **Successful** is defined as a Level 2 rating. This rating level encompasses a range of expected performance. It includes those employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

### **Level 3: Outstanding**

Employees who receive a rating of **Outstanding** may be eligible for a monetary award up to the pay range maximum as a performance salary adjustment and over the pay range maximum as a non-base building award. A non-monetary award may also be given. Classified employees at the pay range maximum are still eligible for a non-base building award. This rating is unique and difficult to achieve. **Outstanding** is defined as a Level 3 rating. This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Regardless of performance level, an employee cannot be granted a performance salary adjustment or combination of awards greater than the performance award maximum set by the president.

### ***Reporting:***

The HRD will enter all performance salary adjustments and monetary awards into the State Employee database, keep records related to PMP, and monitor evaluation compliance by supervisors, unit heads, division directors, and the president. The HRD will report to the reviewer all cases of non-compliance. Each year a report will be prepared by the chief financial officer and HRD and submitted to the CHS president and State Department of Personnel and Administration by June 1 or such deadline as shall be established by DPA. This report will include information on total dollars awarded to employees for each rating level, the amount of dollars appropriated for performance awards for the prior fiscal year, and the total amount of appropriated dollars awarded for performance awards, along with any other information required by the state personnel director.

## **VI. Dispute Resolution**

Employees may dispute certain matters relating to performance plans and ratings through the dispute resolution process. The purpose of the dispute resolution process is to create an open and impartial opportunity that allows the parties to have issues heard, and to provide review mechanisms that are fair, consistent, understandable, and timely.

The employee's signature on his/her plan will be taken to mean that the employee has read and understood the current PMP.

### ***Under Performance Management Program guidelines, only the following matters are disputable in the dispute resolution process:***

- The individual performance plan, including lack of a plan during the performance cycle
- The individual final performance evaluation or lack of a final evaluation
- The application of the agency's performance plan, policies, or processes to the individual employee's plan and/or final evaluation
- Full payment of any performance salary adjustment or award

### ***The following issues are not disputable:***

- The content of the Society's Performance Management Program
- Matters related to the funds appropriated
- The performance evaluations and performance salary adjustments or awards of other employees
- The amount of a performance salary adjustment or award, unless the issue involves the application of the agency's Performance Management Program
- Any interim rating

Only those issues originally presented in writing will be considered throughout the dispute resolution process.

### ***Informal Dispute Resolution Process:***

The parties involved are strongly encouraged to extend every effort to resolve disputes before initiating the dispute resolution process. Prior to the written complaint being filed, the employee, the rater, and the reviewer will meet in an attempt to resolve their differences. The employee may wish to file a "Notice of Intent to Dispute" (described below) in order to meet the required deadlines in the event that informal resolution is not achieved.

### ***Formal Dispute Resolution Process:***

If the differences cannot be resolved during the informal review process, the employee has five (5) working days from the date the plan or evaluation was signed or due, to file\* a "Notice of Intent to Dispute" form, Attachment B (including request for discretionary meeting) with the HRD.

\*Regional staff may call the HRD, or if unavailable, the PMP Team Chair regarding his/her intent to dispute in order to meet the five working days deadline followed by the written form.

Upon receipt of the Notice in HR, a list of the PMP Team members will be given to the parties involved. A three-member panel selected from the CHS PMP Team (see

Attachment A) will hear all disputes. The panel shall include at least one division director, one member at the supervisory level, and one member at large, mutually agreed upon by employee and rater. Panel members will not be from the same division as the employee. Prior to the selection of the panel, both the employee and the supervisor may each eliminate from the list up to two names. The PMP Team chair will then select the three panel members who will review the dispute.

The employee has seven (7) working days after filing the Notice of Intent to Dispute to file a written complaint (not to exceed three typewritten pages). The complaint must state all the issues being disputed, as only those issues contained in the original written complaint will be considered throughout the process. The employee must submit the complaint to the HRD for distribution to the rater, the reviewer, and the dispute resolution panel.

The rater and the reviewer have five (5) working days to file written comments (not to exceed three typewritten pages). The HRD will distribute copies to the employee and the dispute resolution panel.

A meeting to review and discuss the issues with the parties involved is not mandatory and will be held at the request of either the employee or the rater. Upon request for a meeting and receipt of all written documents, the dispute resolution panel chair has three (3) working days to schedule a meeting to be held within ten (10) working days of receipt of the written documents.

The parties are expected to represent and speak for themselves; however, an advisor can help by explaining the process, identifying issues, preparing documents, and/or attending meetings. No party has an absolute right to legal representation.

The panel shall address only the facts surrounding the current action and has seven (7) working days after the meeting to present its written decision to the parties involved. The written decision shall be limited to instructing the rater to follow the CHS PMP and processes, correct an error, reconsider a plan or rating, or suggest other resolution processes such as mediation. **The written decision is final, with no further recourse for resolution, except as noted under "Appeal Process."** The panel cannot render a decision that would alter the Society's Performance Management Program.

### ***Appeal Process:***

An employee may request an appeal in writing for (1) matters related to the application of the Colorado Historical Society PMP to the individual's performance plan and/or final evaluation or (2) full payment of the performance salary adjustment or award.

Classified employees may request an external review by the state personnel director within five (5) working days of the panel's final decision and must include a copy of the original issues and the panel's final decision. Only original issues involving the application of the CHS PMP to the performance plan and/or evaluation, or full payment of performance salary adjustment may advance to this stage. The director may select a qualified neutral third party to review the matter. The director shall issue a written decision that is final and binding within 30 days. For an issue being reviewed at the external stage, these individuals shall not substitute their judgment for that of the rater, reviewer, or the department's dispute resolution decision maker at the internal dispute stage. In reaching a final decision (in the external stage), these individuals have the

authority to instruct a rater(s) to: a) follow agency's program, b) correct an error, or, c) reconsider an individual performance plan or final overall evaluation. The filing address for classified employees is:

Colorado Department of Personnel and Administration  
Division of Human Resources  
Attention: Appeals Processing  
1313 Sherman Street, Room 122  
Denver, CO 80203

Non-classified employees may file a request for an appeal with the CHS Human Resources office for transmittal to the president. The request must be made within five (5) working days of the panel's final decision and must include a copy of the original issues and the panel's final decision.

***Confidentiality:***

Under no circumstances are any documents related to the dispute to be discussed, shared, or prepared by anyone not directly involved in the dispute. All communications, verbal and/or written, are to be held in strict confidence by all parties. Staff assigned to serve on the panel and any advisors must sign a statement to this effect. Information sent through interdepartmental mail shall be sent in sealed envelopes and any copies sent via the U.S. Postal Service must be postmarked within the specified time frames. The HRD and the dispute resolution panel's chairperson will maintain dated records (checklists) to track all documents related to the dispute. The HRD and the panel's chair will ensure that all documents are filed and distributed according to schedule (see timeline below).

Only those directly involved in the dispute (employee, rater, and HRD) shall retain copies of written documentation. All written information provided to panel members, advisor, and the reviewer shall be returned to the HRD for disposal at the completion of the dispute resolution process.

Upon the request of the employee or the rater, timeframes may be extended up to a total of three (3) additional working days.

Retaliation against any person involved in the dispute resolution process is prohibited.

***Dispute Resolution Process Timeframe:***

Working Days 1-5	Working Days up to 12	Working Days Up to 17	Working Days Up to 27	Working Days Up to 34	Working Days Up to 39
Notice of Intent to Dispute filed	Employee files written complaint	Rater/Reviewer file written comments	Panel sends discretionary meeting notice; meeting held	Final written decision	Appeal (if necessary)

## **ATTACHMENT A**

### **PMP Implementation Team**

***CHS will establish a staff team to oversee the implementation of PMP at CHS and to serve as panel members in any dispute resolution activities.***

#### ***Composition of the CHS PMP Team:***

Ten CHS staff will serve on the CHS PMP Team. Of these, two will be division directors, three will be unit heads and five will be members-at-large. The CHS Human Resources Director (HRD) will serve as an ex-officio member of the team. The team will annually select a chair from among its members. The CHS PMP Team shall never consist of fewer than eight members; in the event of a vacancy, the team will decide if that position needs to be filled.

#### ***Selection of the CHS PMP Team:***

Appointment to the CHS PMP Team will be made by lottery each February. All names of permanent staff will be placed into containers by group (division directors, department heads, and other staff) and the necessary number of names will be drawn. The term of service will be two years. The term of the appointment shall begin on April 1 and end on March 31 to coincide with the performance year. Each year's rotation will include at least one division director and one department head. The HRD will announce each year's PMP Team to all CHS staff within 30 days of selection. Team members shall not be appointed to the team again until 3 years from the date of his/her last service on the team.

#### ***Responsibilities of the CHS PMP Team:***

- Develop procedural guidelines to assure that training, communication, and feedback occur annually.
- Review PMP over the fiscal year. Make recommendations to division directors for changes to PMP and submit to Department of Personnel for review. Revise procedures and guidelines as necessary. Provide ongoing evaluation during the year.
- Oversee the dispute resolution process and serve as panelists for formal hearings as per guidelines in PMP.
- Meet on a periodic basis with the CHS president to review and evaluate work of the team.

**ATTACHMENT B**  
**NOTICE OF INTENT TO DISPUTE**  
**Performance Plan or Evaluation**

I, \_\_\_\_\_, have read and understand the CHS Performance Management Program's dispute resolution process and hereby give notice that I intend to dispute the following:

(Check all that apply; provide a summary of the reason(s) for the dispute in the space provided)

- ☐ My individual performance plan, including lack of a plan during the planning cycle.
- ☐ My individual final performance evaluation or lack of a final evaluation.
- ☐ The application of the Society's performance management plan, policies, or processes to my individual plan and/or final evaluation.
- ☐ Full payment of the performance salary adjustment or award.

Signed \_\_\_\_\_  
Employee Date

**Brief summary of the reason for the dispute:**

I request that a meeting be held to resolve this dispute \_\_\_\_\_ YES \_\_\_\_\_ NO

Submit original to the Human Resources Director (keep a copy for your records).

## ATTACHMENT C

### COLORADO HISTORICAL SOCIETY PERFORMANCE MANAGEMENT PROGRAM

#### UNDERSTANDING

You have 30 days from date of hire to review the Colorado Historical Society Performance Management Program revised March 1, 2007 and return this original form to the Human Resources Director. After review, if you have questions, please contact your supervisor or the Human Resources Director.

This is to certify that I have been given a copy, read, and understand the content of CHS PMP. I also understand that this information is on the Colorado Historical Society shared drive and is available at my request.

---

Employee Name (print)

---

Date of Hire

---

Supervisor Signature

---

Date

---

Employee Signature

---

Date



## ATTACHMENT D

### *Planning and Evaluation Tool*

Name: \_\_\_\_\_ Class Title: \_\_\_\_\_  
Position Number: \_\_\_\_\_ Working Title: \_\_\_\_\_  
Appraisal Period From \_\_\_\_\_ To \_\_\_\_\_ **Annual** **Interim** (Circle One)  
Rater I: \_\_\_\_\_ Rater II: \_\_\_\_\_  
Reviewer: \_\_\_\_\_

#### **PLANNING SECTION** (Submit a copy of this page with all signatures to H.R. by April 30)

The employee has been provided a Performance Plan. Plan year is April 1 – March 31.

\_\_\_\_\_  
Rater I Signature Date

\_\_\_\_\_  
Rater II Signature (if applicable) Date

\_\_\_\_\_  
Reviewer(s) Signature(s) Date

I, undersigned employee, \_\_\_\_ Agree \_\_\_\_ Disagree with this Performance Plan.

\_\_\_\_\_  
Employee Signature Date

Signature indicates that the employee has seen the performance plan, that a discussion has taken place, but does not necessarily indicate agreement with the plan.

Employees have the right to request a review if they disagree with this plan. See Section VI of the CHS PMP Plan.

#### **PROGRESS REVIEW** (Submit a copy of this page with signatures to H.R. by October 31)

\_\_\_\_\_  
Rater Signature Employee Signature Date

#### **MODIFICATIONS TO THE PLAN**

\_\_\_\_\_  
Employee Initials Rater(s) Initials Reviewer(s) Initials Date

\_\_\_\_\_  
Employee Initials Rater(s) Initials Reviewer(s) Initials Date

\_\_\_\_\_  
Employee Initials Rater(s) Initials Reviewer(s) Initials Date

## EVALUATION SECTION (Submit the entire evaluation document with original signatures to H.R. by Apr. 30)

The Overall Performance Rating for the entire period was:

\_\_\_\_\_ Needs Improvement \_\_\_\_\_ Meets Expectations \_\_\_\_\_ Exceeds Expectations \_\_\_\_\_ Outstanding

\_\_\_\_\_  
Rater Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Position Number

\_\_\_\_\_  
Rater II Signature (if applicable)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Position Number

\_\_\_\_\_  
Reviewer Signature

\_\_\_\_\_  
Date

I, undersigned employee, \_\_\_\_\_ Agree \_\_\_\_\_ Disagree with this Performance Evaluation.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

Signature indicates that the employee has seen the performance evaluation, that a discussion has taken place, but does not necessarily indicate agreement with the evaluation.

Employees have the right to request a review if they disagree with this appraisal. See Section VI of the CHS PMP Plan.

Performance appraisal is based on the employee's effectiveness and contributions to the achievement of the mission of the Society and of the scope outlined in the employee's Performance Plan for the appraisal period noted above. Effectiveness is rated using one of the following four performance categories:

**Level 3 Outstanding:** This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

**Level 2 Successful:** This rating level encompasses a range of expected performance. It includes those employees who are successfully developing in the job, employees who exhibit competency in work behaviors, skills, and assignments, and accomplished performers who consistently exhibit the desired competencies effectively and independently. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, exceed them. This is the employee who reliably performs the job assigned and may even have a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

**Level 1 Needs Improvement:** This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring and close supervision to ensure progression toward a level of performance that meets expectations. Although these employees are not currently meeting expectations, they may be progressing satisfactorily toward a level 2 rating and need coaching/direction in order to satisfy the core expectations of the position.

Any rating of Needs Improvement or Outstanding requires written justification for any component.

### **Core Value Components**

Measurements reflecting CHS mission and philosophy that are part of every employee's performance plan.

***The following Core Values are an important part of the performance appraisal of all CHS staff. Each staff person will be evaluated as Needs Improvement, Successful or Outstanding in these Core Value areas. Any staff person receiving a Needs Improvement in any of the Core Values will not be eligible for overall Outstanding rating. The bulleted***

***points below define Successful. Raters and employees are encouraged to further define what would constitute Outstanding.***

**1. Job Knowledge:**

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

**2. Communication:** Demonstrates good communication skills by:

- Being accessible, helpful, and responsive to the needs, questions, or concerns of others
- Providing information promptly, thoroughly, and courteously
- Seeking assistance from others at appropriate times
- Keeping coworkers informed of activities

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

**3. Interpersonal Skills:** Demonstrates ability to work as a member of a team by:

- Being flexible when circumstances require modifying schedule, time frames, or tasks
- Coordinating and communicating with others to fulfill requirements of job tasks, projects, or special requests
- Seeking and considering input from others as needed to set priorities, schedules, or deadlines
- Demonstrating commitment to the Society's goals and objectives by working cooperatively to develop plans, objectives, and procedures
- Supporting team members in their efforts
- Acknowledging contributions of others
- Contributing to the good morale of the team

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

**4. Accountability:** Demonstrates a positive, professional demeanor by:

- Conveying a positive/professional image of the Society
- Maintaining current understanding of changes, updates and improvements in his/her professional field and applying generally accepted professional standards to performance of job, as applicable
- Conducting interpersonal relationships with respect and courtesy
- Adhering to CHS and State policies and procedures

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

5. **Customer Service:** Demonstrates effective customer service by:

- Providing timely service to all customers
- Identifying and meeting customer needs
- Conveying a positive, helpful attitude
- Paying attention to the customer being served

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

## **Job-Specific Components**

### **Raters**

Measurements reflecting the CHS mission and philosophy that are part of every rater's performance plan.

1. **Supervision** (as applicable): Demonstrates effective supervision by:
  - Providing staff with performance plans and evaluations to meet CHS deadlines
  - Managing unit work flow and budgets for maximum efficiency and effectiveness
  - Advising staff on necessary training, coaching, and resources to meet staff job requirements
  - Providing staff with consultation and advice in a helpful and timely fashion
  - Establishing a work environment within the unit that is conducive to cooperation and support
  - Providing two-way communication between staff in the unit and program and division directors
  - Inspiring exceptional performance among each staff member

### **Performance Level**

Needs Improvement    Successful    Outstanding

### **Comments:**

### **All Employees**

Measurements that are position-specific and that are developed jointly by the employee and supervisor.

### **Goal # 1:**

### **Performance Level**

Needs Improvement    Successful    Outstanding

### **Comments:**

### **Goal # 2:**

### **Performance Level**

Needs Improvement    Successful    Outstanding

### **Comments:**

**Add additional goals as needed:**

**Overall Rating**

Needs Improvement    Successful    Outstanding

**Supervisors Please Note:**

- Written justification must be included for all level 1 Needs Improvement and level 3 Outstanding performance levels.
- A Needs Improvement rating requires submission of a Formal Improvement Plan to be included with the new performance plan.

**Employee's Comments:**

## ATTACHMENT E

### **Core Value Components for Division Directors**

Measurements reflecting CHS' mission and philosophy; part of every Division Director's performance plan.

#### **1. Leadership:**

- Provides leadership for Society-wide programs by staying informed of issues, legislation, and changes within appropriate disciplines
- Participates in Society-wide planning by attending Board and staff planning sessions and providing written materials and presentations as required
- Provides advice and guidance on Society program-related issues through careful questioning of staff and peers, sharing of concerns, and positive suggestions for implementation and improvement of products and services

#### **Performance Level**

Needs Improvement    Successful    Outstanding

#### **Comments:**

#### **2. Teamwork:**

- Works to develop and maintain good morale within the division and the Society as a whole by providing opportunities for positive feedback, staff appreciation, and social interaction
- Supports the Society's management team by building team cooperation, providing frank, open, but tactful discussion, positive reinforcement and recognition of contributions of other team members
- Regularly attends and is prepared for meetings of the Division Directors and follows through on actions determined at the meetings

#### **Performance Level**

Needs Improvement    Successful    Outstanding

#### **Comments:**

#### **3. Division Administration:**

- Responsible for fiscal oversight of departments within the division by monitoring monthly department and program budgets and taking steps to avoid fiscal crises
- Provides guidance and works with unit heads in the development of annual work plans, action plans, and budgets that reflect agency goals and objectives and submits such materials in accordance with deadlines
- Works with unit heads to develop meaningful personnel plans and evaluations within appropriate time frame
- Provides ongoing coaching and honest feedback to unit heads

- Encourages staff professional and personal growth by allowing staff to assume responsibilities appropriate to their experience and expertise

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**

**4. Board and Community-Related Activities:**

- Attends and participates in meetings of the Board of Directors
- Respects the confidentiality of Board discussions
- Acts as staff liaison with Board Committees and Advisory Councils
- Represents the Society at membership and community events
- Supports Society positions, policies, and opinions in public forums

**Performance Level**

Needs Improvement    Successful    Outstanding

**Comments:**



## **ATTACHMENT F**

### **GRANT MANAGEMENT (as applicable)**

Employee manages grant projects responsibly and professionally by:

- Submitting complete deliverables by the stated due date
- Providing complete, timely and accurate financial reports as required
- Completing projects successfully within the contract period

A Successful rating will be achieved when deliverables are generally completed and submitted by the stated due date, financial reports are generally complete, timely and accurate, and all grant projects are either completed within the contract period or an extension request is authorized by the employee's supervisor in advance of contract expiration.

An Outstanding rating will be achieved when all deliverables are always completed and submitted before the stated due date, all financial reports are always complete, timely, accurate and error-free, and all grant projects are always completed within the contract period without the necessity for extension.

#### **Performance Level**

Needs Improvement    Successful    Outstanding

#### **Comments:**